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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/559,171	04/26/2000	Daniel ManHung Wong	OR00-00801	1509

22835 7590 07/08/2002

PARK, VAUGHAN & FLEMING LLP
508 SECOND STREET
SUITE 201
DAVIS, CA 95616

EXAMINER

TO, BAOQUOC N

ART UNIT	PAPER NUMBER
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2172

DATE MAILED: 07/08/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/559,171

Applicant(s)

WONG ET AL.

Examiner

Baoquoc N To

Art Unit

2172

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on April 26, 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

1. Claims 1-30 are presented for examination.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Maier et al (US. Patent No. 5,625,815) in view of Grace (US. Patent No. 5,519,589).

Regarding on claim 1, 11 and 21, Maier teaches method for selectively auditing accesses to a relational database system, comprising:

receiving a query from a client at a database server that processes queries for the relational database system [col. 3, lines 65-67];

processing the query at the database server to produce a query result [col. 4, lines 7-10];

creating an audit record for rows in relational tables that are accessed by the query and that satisfy an auditing condition [col. 6, lines 58-60];

recording the audit record in an audit record store [col. 4, lines 10-12]; and

Maier does not teach returning the query result to the client. However, Grace teaches, "after the query is being modified and submitted, the user can receive the results to his or her query" [col. 10, lines 43-51]. Therefore, it would have been obvious to one ordinary skill in the art at the time of the invention was made to include the

teaching of Grace into Maier because receiving the result from the query the user would know exactly what have been request in the first place.

Regarding on claim 2, 12 and 22, Maier teaches, "the transaction manager creates audit entries for each transaction, which are durably stored in an audit trail file 138 in second memory" [col. 4, lines 10-12]. Maier does not teach prior to create the record the query is modified. However, Grace teaches " the system allow a lay user to easily update and modify queries of a relational database. The updates and modification, as well as preexisting queries are directly communicated to the system"[col. 10, lines 45-48]. This teaches prior to the executing the query the user has the ability to modify the query. Therefore, it would have been obvious to one ordinary skill in the art at the time of the invention was made to include the teaching of Grace into Maier because modifying the query before auditing would have provided to the user more flexibility to change the search condition.

Regarding on claims 3, 13 and 23, Maier teaches the auditing condition is associated with a table in the relational database system [col. 5, lines 18-27].

Regarding on claims 4, 14 and 24, Maier teaches the auditing condition includes a plurality of auditing conditions [col. 8, lines 24-28].

Regarding on claims 5, 15 and 25, Maier teaches the audit record includes:
a user name for a user making the query [col. 6, lines 4];
a time stamp specifying a time of the query [col. 6, lines 1-4]; and

a text of the query [col. 6, lines 15-18].

Regarding on claims 6, 16 and 26, Maier teaches creating the audit record includes:

determining if auditing is enabled [col. 8, lines 24-29];

creating the audit record if auditing is enabled [col. 8, lines 24-29].

Regarding on claims 7, 17 and 27, Maier teaches auditing is enabled on a table by table basis [col. 5, lines 53-60].

Regarding on claims 8, 18 and 28, Maier teaches the audit record is created while the query result is being generated [col. 6, lines 8-18].

Regarding on claims 9, 19 and 29, Maier teaches the audit record is created after the query result is generated [col. 6, lines 18-30].

Regarding on claims 10, 20 and 30, Maier teaches the auditing condition includes a condition for a field within the relational database system [col. 5, lines 18-27].

Conclusion

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Baoquoc N. To whose telephone number is (703) 305-

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1949 or via e-mail BaoquocN.To@uspto.gov. The examiner can normally be reached on Monday-Friday: 8:00 AM – 4:30 PM, EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached at (703) 305-4393.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
Washington, D.C. 20231.

The fax numbers for the organization where this application or proceeding is assigned are as follow:

- (703) 746-7238 [After Final Communication]}
- (703) 746-7239 [Official Communication]
- (703) 746-7240 [Non-Official Communication]

Hand-delivered responses should be brought to:

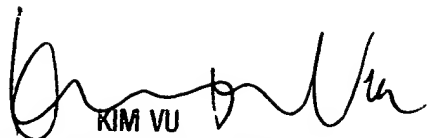
Crystal Park II
2121 Crystal Drive
Arlington, VA 22202
Fourth Floor (Receptionist).

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SUPERVISORY PATENT EXAMINER
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